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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re. Appln.: Bernd Borchert
Serial No.: 09/944,823
Filed: August 31, 2001
For: SEMICONDUCTOR LASER CHIP AND METHOD FOR
FABRICATING A SEMICONDUCTOR LASER CHIP
Attorney Docket No.: 32226.12
Attorney: Jeffrey R. Stone
Additional Fees: Charge to Deposit Account No. 023732

Assistant Commissioner for Patents
Washington, D.C. 20231

**TRANSMITTAL OF INFORMATION DISCLOSURE
STATEMENT BEFORE MAILING DATE OF A FIRST OFFICE ACTION**

Applicant submits herewith the references listed on the attached Information
Disclosure Statement by Applicant.

This Information Disclosure Statement is being filed before the mailing date of a first
Office Action on the merits.

Respectfully submitted,

Dated: 12/18/02

By [Signature]
Jeffrey R. Stone (Reg. No. 47,976)
BRIGGS AND MORGAN
2400 IDS Center
80 South Eighth Street
Minneapolis, MN 55402
Telephone: (612) 334-8560

CERTIFICATE OF MAILING

I hereby certify that this document is being deposited with the United States Postal Service as First Class Mail,
in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on the date
indicated below.

By Katy Sathre
Date Dec. 18, 2002



2812

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Attorney Docket No.: 32226.12
Attorney: Jeffrey R. Stone
Additional Fees: Charge to Deposit Account No. 023732

TRANSMITTAL COVER LETTER

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Enclosed for filing are the following:

1. Transmittal of Information Disclosure Statement Before Mailing Date of a First Office Action;
2. Information Disclosure Statement by Applicant with four (4) cited references; and
3. Postcard Receipt.

Respectfully submitted,

Dated: 12/18, 2002

By [Signature]
Jeffrey R. Stone (Reg. No. 47,976)
BRIGGS AND MORGAN
2400 IDS Center
80 South Eighth Street
Minneapolis, MN 55402
Telephone: (612) 334-8560

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By Kathy Sathre
Date DEC. 18, 2002

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Application Number	09/944823
Filing Date	August 31, 2001
First Named Inventor	Borchert, Bernd
Group Art Unit	
Examiner Name	
Attorney Docket Number	32226.12

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
DAZ		US-60 64 527 A	May 16, 2000	Lucent Technologies, Inc.	
		US-			
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FOREIGN PATENT DOCUMENTS

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		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
DAZ		DE 24 36 908 A1	02-20-1975	Nippon Selfoc Co.		
DAZ		EP 10 35 423 A2	09-13-2000	Samsung Electronics Co., Ltd.		
DAZ		JP 2-199882 A	08-08-1990	NEC Corp.		

Examiner
Signature

Delma R. Flores-Ruz

Date
Considered

11/03

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¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 2

Complete if Known

Application Number	09/944823
Filing Date	August 31, 2001
First Named Inventor	Borchert, Bernd
Group Art Unit	
Examiner Name	
Attorney Docket Number	32226.12

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²

Examiner
Signature

Delmar R. Plunk

Date
Considered

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